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October 15, 2019

The Honorable Holly J. Mitchell, Chair
Joint Legislative Budget Committee
1020 N Street, Room 553
Sacramento, CA 95814

The Honorable Anthony J. Portantino, Chair
Senate Appropriations Committee
State Capitol, Room 2206
Sacramento, CA 95814

The Honorable Lorena Gonzalez, Chair
Assembly Appropriations Committee
State Capitol, Room 2114
Sacramento, California 95814

Dear Chairpersons Mitchell, Portantino, and Gonzalez:

Attached is my office's quarterly report on the progress of the CAL-ACCESS Replacement System Project, in accordance with Government Code section 84602(c). Previous reports are posted on the Secretary of State's office website at www.sos.ca.gov/administration/agency-reports/cal-access-replacement-project-cars-agency-reports. If you have any questions about this report, please feel free to contact me at (916) 653-7244, or have your staff contact my Chief of Legislative Affairs, Tiffany Mok, at (916) 695-1686.

Sincerely,

Alex Padilla
Secretary of State

Attachment

Introduction

In September of 2016, the Governor signed into law Senate Bill (SB) 1349, the Political Reform Act of 1974: Secretary of State: online filing and disclosure system. The bill requires the Secretary of State, in consultation with the Fair Political Practices Commission (FPPC), to develop and certify for public use an online filing and disclosure system for campaign statements and reports that provides public disclosure of campaign finance and lobbying information in a user-friendly, easily understandable format.

The law calls for the Secretary of State to submit a report to the chairs of the Joint Legislative Budget Committee and the fiscal committees of the Legislature on or before December 31, 2017, and on or before every April 15, July 15, October 15, and January 15 thereafter, that certifies whether changes are anticipated to the project's scope, schedule, or budget and any problem that is considered a risk to the project's completion according to the approved project schedule and budget.

Background

The California Automated Lobbyist and Campaign Contribution and Expenditure Search System (CAL-ACCESS) was developed to provide greater public access to campaign contribution and expenditure data, and state lobbying financial activity. CAL-ACCESS was developed to respond to the objectives of the Online Disclosure Act, added to the Political Reform Act of 1974 (PRA) by Ch 866, Stats of 1997. CAL-ACCESS is the public's window into California's campaign disclosure and lobbying financial activity, providing financial information supplied by state candidates, donors, lobbyists, lobbyist employers, and others.

CAL-ACCESS was deployed in June 2000, and, since that time, nearly two (2) million filings have been submitted by filers. However, CAL-ACCESS is an old and fragile system that is at the end of life and operating on an unsupported information technology platform. The current system design has technological restrictions that prevent it from being modified or updated. It lacks data display and reporting features that are commonly used for data analytics.

CAL-ACCESS users and stakeholder groups have identified the following business problems:

- Program business operations are negatively affected by the current system design.
- Program business operations are at risk due to an old, unsupported information technology platform.
- The Secretary of State's Political Reform Division (PRD) and stakeholders have limited information access and reporting capabilities.

SB 1349 requires the Secretary of State to implement a CAL-ACCESS Replacement System to address the shortcomings and vulnerabilities of the current system. The original implementation date for the new CAL-ACCESS as set forth in SB 1349 was December 2019. SB 84, signed by the Governor on June 27, 2019, extends the implementation date to February, 2021.

CAL-ACCESS Replacement System Project Status – July 2019

Below is a summary of the Secretary of State's efforts on the CAL-ACCESS Replacement System (CARS) project for this reporting period.

New System Design, Development and Testing

The CARS project team continued Phase II System Requirement Confirmation, Architecture and Design and Phase III System Development, Testing and Deployment tasks and activities.

The System Integrator (SI) team, working in collaboration with the SOS Subject Matter Experts (SMEs) and other Project Team members, continued the new application design and development. The project team completed the initial application design documentation. The SI continues working on completing its twelfth and final initial system development iteration.

The SI team completed its Deliverable Expectation Documents (DED) for System Detailed Requirements Traceability Matrix, System Configuration and System Testing Completion and CARS End-to-End Acceptance Testing Completion and Final Deployment and received acceptance. The SI team continued to work on resolving the Secretary of State (SOS) review feedback on the Data Model and Data Dictionary deliverable.

The Organizational Change Management (OCM) Team conducted ongoing meetings with the CAL-ACCESS software vendors and service providers to present and discuss electronic file specifications for the new system. The OCM team continued sending CARS newsletters to internal and external stakeholders. The SI training team, in collaboration with the OCM team, began developing training material for the internal and external user training on the new system.

The Project Team released its version 1.07 draft of the electronic filing specifications to the Software Vendors and Service Providers. The Project Team has scheduled ongoing meetings with the California Political Treasurers Association and the California Political Attorneys Association to gather feedback on the envisioned new system functions and features.

The Data Migration Team continued working with the Secretary of State SMEs and the SI Team on mapping legacy CAL-ACCESS data elements to the new system and continued planning for extraction, transfer, and load of the legacy data into the new system.

The Functional Testing Team, in collaboration with the Secretary of State SMEs, continued functional testing for the new system. The SOS testing team began developing detailed test scenarios for SOS User Acceptance Testing (UAT) of the new CAL-ACCESS application.

The Azure consulting services contractor, in collaboration with the SOS Information Technology (IT) Division continued setting up iterative releases in the SOS testing environments. The SOS IT SMEs continued code review of the new CAL-ACCESS application source code and provided initial accessibility review findings to the CARS SI. The SOS technical testing contractor continued developing automated test cases to test the new application.

Currently Perceived Challenges

The CARS SI is delayed on completing several key contract deliverables. The Secretary of State initiated conversations with the vendor's senior management and asked the SI to develop a plan to remediate the issues.

Implementation Plan

Senate Bill (SB) 84 was signed by the Governor on June 27, 2019, extending the implementation date for the CAL-ACCESS Replacement System from December 2019 to February 2021. The project team is currently working with the CARS SI on developing the updated schedule. Below is the currently anticipated high level schedule for the CAL-ACCESS Replacement System design, development and implementation activities.

Project Stages	Milestone	Dates	Status
Alternatives Analysis	Complete Alternatives Analysis	11/2016	Complete
Solution Development	Refine Business Requirements and initiate project management and procurement plans (data governance; communications; issue/risk management; project; and contract management.)	12/2016 – 07/2017	Complete
	Release Request for Solicitation	08/2017	Complete
Project Readiness and Approval	Evaluate final Vendor responses	2/2018 - 4/2018	Complete
	Award Contract	5/2018	Complete
Initialization and Planning	Develop project plans and Integrated Project Schedule	6/2018 – 3/2019	Complete
Design Development & Implementation	Requirements Validation	8/2018 – 12/2018	Complete
	Design and Development	11/2018 – 12/2019	In progress
	Training and Testing	1/2020 – 11/2020	
	Implementation	12/2020 - 2/2021	
Maintenance and Operations	First Year Operation and Closeout	3/2021 - 2/2022	